

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

293.000193

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

unknown 09/601130

INTERNATIONAL APPLICATION NO.  
PCT/DE99/00211INTERNATIONAL FILING DATE  
28/01/1999PRIORITY DATE CLAIMED  
29/01/1998

## TITLE OF INVENTION

OPTICAL ARRANGEMENT FOR THE SPECTRAL FANNING OUT OF A LIGHT BEAM

## APPLICANT(S) FOR DO/EO/US

Johann ENGELHARDT, Heinrich ULRICH and Hilmar GUGEL

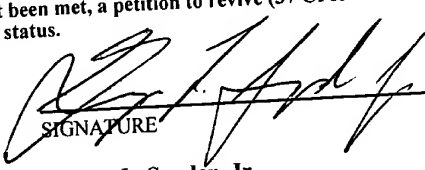
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

## Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

- 1) Acknowledgement postcard
- 2) Express Mail Label No. EL628755921 US

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.53) <b>09/601130</b>		INTERNATIONAL APPLICATION NO. <b>PCT/DE99/00211</b>		ATTORNEY'S DOCKET NUMBER <b>293.000193</b>													
21. The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</b> <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$970.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$840.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$690.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$670.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$96.00 <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>CALCULATIONS PTO USE ONLY</b>													
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)). <input type="checkbox"/> 20 <input type="checkbox"/> 30				<b>\$840.00</b>													
<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th>CLAIMS</th> <th>NUMBER FILED</th> <th>NUMBER EXTRA</th> <th>RATE</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>18 - 20 =</td> <td>0</td> <td>x \$18.00</td> </tr> <tr> <td>Independent claims</td> <td>1 - 3 =</td> <td>0</td> <td>x \$78.00</td> </tr> </tbody> </table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	18 - 20 =	0	x \$18.00	Independent claims	1 - 3 =	0	x \$78.00	<b>\$0.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE														
Total claims	18 - 20 =	0	x \$18.00														
Independent claims	1 - 3 =	0	x \$78.00														
Multiple Dependent Claims (check if applicable).				<b>\$0.00</b>													
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$840.00</b>													
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>													
<b>SUBTOTAL =</b>				<b>\$840.00</b>													
Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30 +				<b>\$0.00</b>													
<b>TOTAL NATIONAL FEE =</b>				<b>\$840.00</b>													
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input checked="" type="checkbox"/>				<b>\$40.00</b>													
<b>TOTAL FEES ENCLOSED =</b>				<b>\$880.00</b>													
				Amount to be refunded \$													
				charged \$													
<input checked="" type="checkbox"/> A check in the amount of <b>\$880.00</b> to cover the above fees is enclosed. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. <b>50-0822</b> A duplicate copy of this sheet is enclosed.																	
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.																	
SEND ALL CORRESPONDENCE TO:																	
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;">           George L. Snyder, Jr.            Simpson, Simpson &amp; Snyder, L.L.P.            5555 Main Street            Williamsville, New York 14221            Telephone No. 716-626-1564         </div> <div style="width: 45%; text-align: right;">             SIGNATURE            George L. Snyder, Jr.            NAME            37,729            REGISTRATION NUMBER            July 27, 2000            DATE         </div> </div>																	

09/601130

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Johann ENGELHARDT et al.

Docket No.

293.000193

Serial No. N/A	Filing Date N/A	Examiner N/A	Group Art Unit N/A
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334 Rec'd PCT/PTC 27 JUL 2000

Invention: OPTICAL ARRANGEMENT FOR THE SPECTRAL FANNING OUT OF A LIGHT BEAM

I hereby certify that the following correspondence:

National Stage patent application and related documents

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

July 27, 2000

(Date)

Karen R. Bruno

(Typed or Printed Name of Person Mailing Correspondence)

  
(Signature of Person Mailing Correspondence)EL628755921US

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